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From

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**No. of
Pages:** 14

Date: September 17, 2002

Re: Serial No. 10/009,420

File: 4003.002300

☐ **Urgent** ☐ **For Review** ☐ **For Your File** ☐ **Please Reply** ☐ **Please Handle**

* w/o coversheet

ORIGINAL: ___ Will follow XX Will not follow

● **Comments:**

As requested in our telephone conference last Friday, September 13, 2002, attached are copies of documents filed with the PTO on April 30, 2002, and faxed to the PTO on August 1, 2002.

Thank you for your assistance with this matter.

CONFIDENTIALITY NOTE

The documents accompanying this facsimile transmission contain information from the law firm of Williams, Morgan & Amerson which may be confidential and/or privileged. The information is intended to be for the use of the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution or use of the contents of this faxed information is prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the retrieval of the original documents at no cost to you.

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or the below named inventors are the original, first and joint inventors (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **Estrogen Receptor Site-Specific Ribozymes and Uses Thereof for Estrogen Dependent Tumors**, the Specification of which:

☐ is attached hereto.
☒ was filed on **December 4, 2001** as Application Serial No. **10/009,420**.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim priority benefits under Title 35, United States Code, § 119 and/or § 365 of any foreign application(s) for patent or inventor's certificate, PCT international application(s), and United States provisional application(s), listed below and have also identified below any foreign application for patent or inventor's certificate, PCT international application, or United States provisional application, having a filing date before that of the application on which priority is claimed:

PRIORITY APPLICATION(S)			Priority Claimed
PCT/US00/15243	PCT	June 2, 2000	Yes
(Number)	(Country)	(Date Filed)	Yes/No
60/137,470	USA	June 4, 1999	Yes
(Number)	(Country)	(Date Filed)	Yes/No

I hereby claim the benefit under Title 35, United States Code, § 120 and/or § 365 of any United States application(s) and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56, which becomes available between the filing date of the prior application and the national or PCT international filing date of this application:

N/A		
(Application Serial No.)	(Filing Date)	(Status)
(Application Serial No.)	(Filing Date)	(Status)

I hereby direct that all correspondence and telephone calls be addressed to Shelley P.M. Fussey, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	Arun	K.	Roy
Inventor's Signature:	<i>Arun K. Roy</i>		
Country of Citizenship:	U.S.A.	Date:	3-25-02
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Roan, Unit #1006 San Antonio, Texas 78229		
Post Office Address: (if different from above)			


Inventor's Full Name:	Yan		Lavrovsky
Inventor's Signature:			
Country of Citizenship:	Russia	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Rakesh	K.	Tyagi
Inventor's Signature:			
Country of Citizenship:	India	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

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Inventor's Full Name:	Arun	K.	Roy
Inventor's Signature:			
Country of Citizenship:	U.S.A.	Date:	
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Roan, Unit #1006 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Inventor's Full Name:	Yan		Lavrovsky
Inventor's Signature:			
Country of Citizenship:	Russia USA YZ	Date: January 14, 2002	
Residence Address: (street, number, city, state, and/or country)	159 St-Julien street 1218 Plan. les. Ouates Geneva, Switzerland		
Post Office Address: (if different from above)	office phone: +41 22 706 9714 e-mail: Yan.Lavrovsky@serono.com		

Inventor's Full Name:	Rakesh	K.	Tyagi
Inventor's Signature:			
Country of Citizenship:	India	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

I hereby direct that all correspondence and telephone calls be addressed to Shelley P.M. Fussey, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	Arun	K.	Roy
Inventor's Signature:			
Country of Citizenship:	U.S.A.	Date:	
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Roan, Unit #1006 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Inventor's Full Name:	Yan		Lavrovsky
Inventor's Signature:			
Country of Citizenship:	Russia	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Rakesh	K.	Tyagi
Inventor's Signature:	Rakesh Kumar Tyagi		
Country of Citizenship:	India	Date:	8th Feb. 2002
Residence Address: (street, number, city, state, and/or country)	T-109, OLD TRANSIT HOUSE, DAKSHINAPURAM, JAWAHARLAL NEHRU UNIVERSITY NEW DELHI - 110067, INDIA		
Post Office Address: (if different from above)			

Inventor's Full Name:	Chung	S.	Song
Inventor's Signature:	<i>Chung Song</i>		
Country of Citizenship:	USA	Date:	3/28/02
Residence Address: (street, number, city, state, and/or country)	15023 Northern Dancer San Antonio, Texas 78248		
Post Office Address: (if different from above)			

Inventor's Full Name:	Bandana		Chatterjee
Inventor's Signature:	<i>Bandana Chatterjee</i> 3/28/02		
Country of Citizenship:	USA	Date:	3/28/02
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Road, #201 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Inventor's Full Name:	Shuo		Chen
Inventor's Signature:	<i>Shuo Chen</i>		
Country of Citizenship:	China	Date:	3-28-02
Residence Address: (street, number, city, state, and/or country)	7458 Louis Pasteur, #504 San Antonio, Texas		
Post Office Address: (if different from above)			

COPY

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Arun K. Roy, Yan Lavrovsky, Rakesh K.
Tyagi, Chung S. Song, Bandana Chatterjee
and Shuo Chen

Group Art Unit: Unknown

Examiner: Unknown

Serial No.: 10/009,420

Atty. Dkt. No.: 4003.002300

Filed: December 4, 2001

For: Estrogen Receptor Site-Specific Ribozymes
and Uses Thereof for Estrogen Dependent
Tumors

**ELECTION UNDER 37 C.F.R. §§ 3.71 AND 3.73
AND POWER OF ATTORNEY**

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned, being Assignee of record of the entire interest in the above-identified application by virtue of an assignment recorded in the United States Patent and Trademark Office as set forth below, hereby elects, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventors.

The Assignee hereby revokes any previous Powers of Attorney and appoints:

Danny L. Williams, Reg. No. 31,892; Terry D. Morgan, Reg. No. 31,181; J. Mike Amerson, Reg. No. 35,426; Kenneth D. Goodman, Reg. No. 30,460; Jeffrey A. Pyle, Reg. No. 34,904; Ruben S. Bains, Reg. No. 46,532; Scott F. Diring, Reg. No. 35,119; George J. Oehling, Reg. No. 40,471; Shelley P.M. Fussey, Reg. No. 39,458; Mark D. Moore, Reg. No. 42,903; Louis H. Iselin, Reg. No. 42,684; Raymund F. Eich, Reg. No. 42,508; Daren C. Davis, Reg. No. 38,425; and Stephanie A. Wardwell, Reg. No. 48,025;

each an attorney or agent of the firm of WILLIAMS, MORGAN & AMERSON, P.C., as its attorney or agent for so long as they remain with such firm, with full power of substitution and revocation, to prosecute the application, to make alterations and amendments therein, to transact all business in the Patent and Trademark Office in connection therewith, and to receive any Letters Patent, and for one year after issuance of such Letters Patent to file any request for a certificate of correction that may be deemed appropriate.



UNITED STATES PATENT AND TRADEMARK OFFICE

COPY

Commissioner for Patents, Box P-1
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/009,420	Arun K. Roy	4003.002300

Shelley P M Fussey
Williams Morgan & Amerson
7676 Hillmont
Suite 250
Houston, TX 77040DOCKETED ☒ []
Previously ☐ Not ☐
Appl. Info _____
Reg. Grant Info _____
Action Required Notice of Missing
Requirements / Sequence Listing
Date Due/Done: 5-30-02
By: S Checked f

INTERNATIONAL APPLICATION NO	
PCT/US00/15243	
IA. FILING DATE	PRIORITY DATE
06/02/2000	

CONFIRMATION NO. 2376
371 FORMALITIES LETTER

OC000000007583604

Date Mailed: 03/08/2002

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Copy of IPE Report
- Copy of the International Application
- Copy of the International Search Report
- Preliminary Amendments
- Request for Immediate Examination
- Substitute Specification

DOCKETING DEPT

MAR 18 2002

WILLIAMS, MORGAN & AMERSON

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

The following items **MUST** be furnished within the period set forth below:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the

requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- This application does not contain a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
- **APPLICANT MUST PROVIDE:**
 - An initial or substitute computer readable form (CRF) of the "Sequence Listing."
 - An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.

• For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

- This application does not contain a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

ANITA D JOHNSON

Telephone: (703) 305-3661

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY DOCKET NO
10/009,420	PCT/US00/15243	4003.002300